



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

3624  
#5  
BT

12-30-03

the Application of:  
Kendrick W. Kan,  
Bruce L. Horn  
Title:  
**Internet-Based System for Identification,  
Measurement and Ranking of Investment  
Portfolio Management, and Operation  
of a Fund Supermarket, Including "Best  
Investor" Managed Funds**  
Serial No. 09/836,694  
Filed: April 17, 2001

) Attorney Docket No. 26592-004REG US  
)  
) Group Art Unit: 3624  
) Examiner: Weisberger, Richard C.  
) Telephone: (703) 308-4408  
)  
) Date of Mailing: December 4, 2003

Certification under 37 CFR 1.8 Mail Deposit Date: December 4, 2003  
I hereby certify that the correspondence is being deposited on the above stated date with the United States Post Office as  
First Class Mail, in an envelope addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box  
1450, Arlington, VA 22313-1450.

Name: Virginia P. Shogren Signature: Virginia P. Shogren

**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97**

Mail Stop: Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Arlington, VA 22313-1450

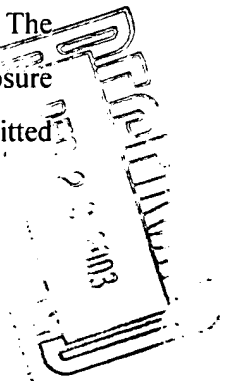
Sir:

Applicant(s) wish to disclose the following information under rule 97:

**REFERENCES**

- ☐ The Applicant(s) wish to make of record the references listed on the attached Form PTO/SB/08A. Copies of the listed references are attached, where required.
- ☒ The Applicant(s) wish to make of record the references cited in the copending related US Application Serial Number 09/610,160 filed July 5, 2000. The references are listed on the attached Forms PTO/SB/08A and 08B and copies are attached. Also enclosed is a copy of PCT International Search Report, PCT/US01/12540, dated August 10, 2001. The references in the Search Report were disclosed in Applicants' Information Disclosure Statement dated September 27, 2001. A copy of the Search Report is being submitted herewith to complete the record.

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### RELATED CASE(S)

☒ Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

### CERTIFICATION

The undersigned certifies that:

☒ No Office Action has been received in this case.

### FEE PAYMENT

☒ It is believed that no fee is due for the papers being filed herewith.

☐ Please charge Deposit Account No. 04-1699 in the amount of \$\_\_\_\_\_ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.

☒ If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

Encls: PTO/SB/08A

PTO/SB/08B

Copy of References cited in 09/610,160:

US 5,262,942 Earle, Dennis M.

"UK - Web-Based Virtual Stock Market Game A Success", Newsbytes (July 17, 1997)

"Software Introductions" Microbanker, vol. 15, no. 3 (March 1995)

Higgins, J. M. "Janus Capital's John Schreiber" Broadcasting and Cable, Vol. 128 no. 34 (Aug. 17, 1998) p. 56

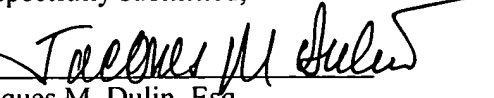
Copy of PCT International Search Report, PCT/US01/12540, dated August 10, 2001

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DATE: December 4, 2003

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Respectfully submitted,

By   
Jacques M. Dulin, Esq.  
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Approved for use through 07/31/2006. OMB 0651-0031

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*(Use as many sheets as necessary)*

Sheet	1	of	2
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**Complete if Known**

Application Number	09/836,694
Filing Date	April 17, 2001
First Named Inventor	Kam, Kendrick W.
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	26592-004 REG US

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> ( <i>if known</i> )			
		US- 5,262,942	11-16-1993	Dennis M. Earle	throughout
		US-			
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## FOREIGN PATENT DOCUMENTS

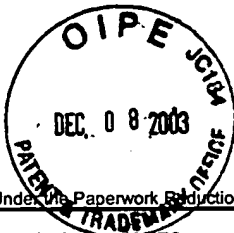
[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08B (08-03)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	09/836,694
Filing Dat	April 17, 2001
First Named Inventor	Kam, Kendrick W.
Art Unit	3624
Examiner Name	Weisberger
Attorney Docket Number	26592-004 REG US

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		DENNIS, SYLVIA, "UK - Web-Based Virtual Stock Market Game A Success", Newsbytes (July 17, 1997), Wakefield, Yorkshire, England.	
		"Software Introductions", Microbanker, vol. 15, no. 3 (March 1995), United States	
		HIGGINS, J. M., "Janus Capital's John Schreiber", Broadcasting and Cable, vol. 128 no. 34 (August 17, 1998), p. 56, United States	

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Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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